

OMB APPROVAL	
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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

1. Name and Address of Reporting Person * <u>Bergmann Anthony</u> (Last) (First) (Middle) C/O CAPRICOR THERAPEUTICS, INC. 8840 WILSHIRE BLVD., 2ND FLOOR (Street) BEVERLY HILLS CA 90211 (City) (State) (Zip)	2. Issuer Name and Ticker or Trading Symbol <u>CAPRICOR THERAPEUTICS, INC. [CAPR]</u>	5. Relationship of Reporting Person(s) to Issuer (Check all applicable) Director 10% Owner Officer (give title below) Other (specify below) X CHIEF FINANCIAL OFFICER
	3. Date of Earliest Transaction (Month/Day/Year) 02/12/2020	
	4. If Amendment, Date of Original Filed (Month/Day/Year)	

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price			

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		6. Date Exercisable and Expiration Date (Month/Day/Year)		7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)	
				Code	V	(A)	(D)	Date Exercisable	Expiration Date						Title
Stock Option (Right to Buy)	\$1.39	02/12/2020		A		14,000		(1)	08/08/2029	Common Stock	14,000	(2)	14,000	D	
Stock Option (Right to Buy)	\$1.39	02/12/2020		A		5,000		(3)	01/02/2028	Common Stock	5,000	(2)	5,000	D	
Stock Option (Right to Buy)	\$1.39	02/12/2020		A		3,500		(4)	01/03/2027	Common Stock	3,500	(2)	3,500	D	
Stock Option (Right to Buy)	\$1.39	02/12/2020		A		3,000		(5)	06/02/2026	Common Stock	3,000	(2)	3,000	D	
Stock Option (Right to Buy)	\$1.39	02/12/2020		A		2,500		(6)	03/03/2025	Common Stock	2,500	(2)	2,500	D	
Stock Option (Right to Buy)	\$1.39	02/12/2020		A		2,178		(6)	10/23/2023	Common Stock	2,178	(2)	2,178	D	
Stock Option (Right to Buy)	\$3.25	02/12/2020		D			14,000	(1)	08/08/2029	Common Stock	14,000	(2)	0	D	
Stock Option (Right to Buy)	\$15.7	02/12/2020		D			5,000	(3)	01/02/2028	Common Stock	5,000	(2)	0	D	
Stock Option (Right to Buy)	\$25.5	02/12/2020		D			3,500	(4)	01/03/2027	Common Stock	3,500	(2)	0	D	
Stock Option (Right to Buy)	\$31.2	02/12/2020		D			3,000	(5)	06/02/2026	Common Stock	3,000	(2)	0	D	
Stock Option (Right to Buy)	\$57.8	02/12/2020		D			2,500	(6)	03/03/2025	Common Stock	2,500	(2)	0	D	
Stock Option (Right to Buy)	\$3	02/12/2020		D			2,178	(6)	10/23/2023	Common Stock	2,178	(2)	0	D	

Explanation of Responses:

- 4,666 of the shares were vested on the date of grant. The remaining 9,334 shares will vest 1/48th on the first day of each month, commencing September 1, 2019, until the stock option becomes fully vested and exercisable. The option is subject to early exercise and, therefore, all or any part of the option can be exercised at any time. If the reporting person elects to take advantage of the early exercise feature and purchase shares prior to the vesting of such shares, the shares will be deemed restricted stock and will be subject to a repurchase option in favor of the Registrant if the reporting person's service to the Registrant terminates prior to vesting.
- The reported transactions involved the repricing of outstanding options, resulting in the deemed cancellation of the "old" options and the grant of replacement options, with a new exercise price of \$1.39 per share.
- The shares will vest 1/48th on the first day of each month, commencing February 1, 2018, until the stock option becomes fully vested and exercisable. The option is subject to early exercise and, therefore, all or any part of the option can be exercised at any time. If the reporting person elects to take advantage of the early exercise feature and purchase shares prior to the vesting of such shares, the shares will be deemed restricted stock and will be subject to a repurchase option in favor of the Registrant if the reporting person's service to the Registrant terminates prior to vesting.
- The shares will vest 1/48th on the first day of each month, commencing February 1, 2017, until the stock option becomes fully vested and exercisable. The option is subject to early exercise and, therefore, all or any part of the option can be exercised at any time. If the reporting person elects to take advantage of the early exercise feature and purchase shares prior to the vesting of such shares, the shares will be deemed restricted stock and will be subject to a repurchase option in favor of the Registrant if the reporting person's service to the Registrant terminates prior to vesting.
- The shares will vest 1/48th on the first day of each month, commencing July 1, 2016, until the stock option becomes fully vested and exercisable. The option is subject to early exercise and, therefore, all or any part of the option can be exercised at any time. If the reporting person elects to take advantage of the early exercise feature and purchase shares prior to the vesting of such shares, the shares will be deemed restricted stock and will be subject to a repurchase option in favor of the Registrant if the reporting person's service to the Registrant terminates prior to vesting.
- The stock option award is fully vested and exercisable.

/s/ Linda Marban, as Attorney-in-Fact 02/14/2020

** Signature of Reporting Person Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

* If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.